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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Application of :  
Manabu OUMI et al. :  
Serial No. 09/997,484 : Group Art Unit: 2873  
Filed: November 21, 2001 :  
For: METHOD OF FABRICATING :  
OPTICAL APERTURE AND :  
METHOD OF FABRICATING :  
PROBE FOR NEAR FIELD :  
LIGHT DEVICE : Docket No. S004-4470

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COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT  
UNDER PATENT RULES 97 AND 98

S I R:

Applicants submit this information disclosure statement pursuant to 37 CFR §§1.97 and 1.98.

The present application was filed more than three months prior to the filing of this statement. However, as of the date of filing of this statement, neither a final action under 37 CFR §1.113 nor a notice of allowance under 37 CFR §1.311 has been mailed in this application. Accordingly, this information disclosure statement is being filed under 37 CFR §1.97(c) and is accompanied by the following 37 CFR §1.97(e) certification:

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LAST PAGE

Rule 97(e) Certification

Applicants' undersigned attorney, pursuant to 37 CFR §1.97(e), hereby certifies that each item of information disclosed herein was cited in a Search Report of a foreign Patent Office in applicants' counterpart foreign application not more than three months prior to the filing of this information disclosure statement.

Information Disclosure Statement

Pursuant to 37 CFR §1.98, a list of patents, publications or other information submitted for consideration by the PTO is provided on annexed Form PTO-1449. A legible copy of each item of information listed on the Form is submitted herewith. Also submitted is a copy of the Search Report which cited each item of information.

As to each item of information, if any, which is not in the English language, a concise explanation of the relevance thereof pursuant to 37 CFR §1.98(a)(3) is given in the Search Report which cited the information.



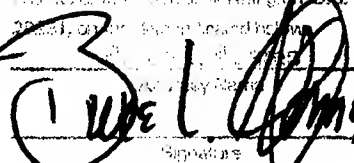
Consideration of this information disclosure statement is respectfully requested.

Respectfully submitted,

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December 20, 2002

Date

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

SERIAL NO.

S004-4470

09/997,484

APPLICANT

Mamabu OUMI et al.

FILING DATE

November 21, 2001

GROUP

2873

LIST OF PRIOR ART CITED BY APPLICANT

## U.S. PATENT DOCUMENTS

* <input type="checkbox"/>	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
AA	5 3 3 3 4 9 5	08-02-94	Yamaguchi et al.	73	105	
AB	4 6 8 4 2 0 6	08-04-87	Bednorz et al.	350	96.12	
AC						
AD						
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AG						
AH						
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AJ						
AK						

## FOREIGN PATENT DOCUMENTS

* <input type="checkbox"/>	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
AL	0 0 2 8 5 3 6	05-18-00	WIPO	--	--		X
AM							
AN							
AO							
AP							
AQ							

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

AR	
AS	
AT	

EXAMINER:

DATE CONSIDERED:

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

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Patentamt

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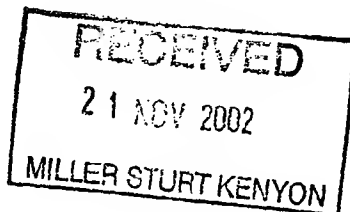
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Datum/Date

21.11.02

Zeichen/Ref./Réf.

EPP14066A

Anmeldung Nr./Application No./Demande n°/Patent Nr./Patent No./Brevet n°.

01309847.0-1526-

Anmelder/Applicant/Demandeur/Ab-inventor/Proprietor/Titulaire

SEIKO INSTRUMENTS INC.

## COMMUNICATION

The European Patent Office herewith transmits as an enclosure the European search report for the above-mentioned European patent application.

If applicable, copies of the documents cited in the European search report are attached.

☐ Additional set(s) of copies of the documents cited in the European search report is (are) enclosed as well.

The following specifications given by the applicant have been approved by the Search Division:

☒ abstract

☒ title

☐ The abstract was modified by the Search Division and the definitive text is attached to this communication.

The following figure will be published together with the abstract:

1

## REFUND OF THE SEARCH FEE

If applicable under Article 10 Rules relating to fees, a separate communication from the Receiving Section on the refund of the search fee will be sent later.





DOCUMENTS CONSIDERED TO BE RELEVANT			
Category	Citation of document with indication, where appropriate, of relevant passages	Relevant to claim	CLASSIFICATION OF THE APPLICATION (Int.Cl.7)
A	US 5 333 495 A (YAMAGUCHI HIROSHI ET AL) 2 August 1994 (1994-08-02) * column 12, line 26 - line 36; figure 2F *	1,2,23	G12B21/06
A	US 4 684 206 A (DENK WINFRIED ET AL) 4 August 1987 (1987-08-04) * column 4, line 40 - line 50; figure 5 *	1,2,23	
D	& JP 05 021201 B 23 March 1993 (1993-03-23)		
A	WO 00 28536 A (MITSUOKA YASUYUKI ;CHIBA NORIO (JP); OUMI MANABU (JP); ICHIHARA SU) 18 May 2000 (2000-05-18) * the whole document * & EP 1 061 510 A 20 December 2000 (2000-12-20) * paragraph '0313! *	1,2,23	
			TECHNICAL FIELDS SEARCHED (Int.Cl.7)
			G12B G11B G02B
The present search report has been drawn up for all claims			
Place of search		Date of completion of the search	Examiner
BERLIN		22 October 2002	Clevorn, J
CATEGORY OF CITED DOCUMENTS			
X : particularly relevant if taken alone Y : particularly relevant if combined with another document of the same category A : technological background O : non-written disclosure P : intermediate document		T : theory or principle underlying the invention E : earlier patent document, but published on, or after the filing date D : document cited in the application L : document cited for other reasons & : member of the same patent family, corresponding document	

**ANNEX TO THE EUROPEAN SEARCH REPORT  
ON EUROPEAN PATENT APPLICATION NO.**

EP 01 30 9847

This annex lists the patent family members relating to the patent documents cited in the above-mentioned European search report. The members are as contained in the European Patent Office EDP file on  
The European Patent Office is in no way liable for these particulars which are merely given for the purpose of information.

22-10-2002

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